

DIVISION OF CHILDREN AND FAMILY SERVICES
CY 2002 - 2004 LOCAL PLAN GUIDELINES
FOR
TITLE IV-E INCENTIVE FUNDS
AND
SAFE AND STABLE FAMILIES PROGRAM
(FORMERLY FAMILY PRESERVATION AND SUPPORT)

July 30, 2001

CY 2002-2004 Local Plan Guidelines

Table of Contents

PLAN INSTRUCTIONS	Page
I. Introduction	1
II. Funding Allocations/Use of Funds	4
III. Instructions for Completing the Plan.....	9
Assurances and Narrative Questions.....	9
Project Descriptions	10
Project Budget Table.....	17
Signature Page.....	18
Appendix 1	19
Appendix 2.....	20
Appendix 3.....	22
IV. CY 2002 Allocation Tables	
IV-E Incentive Program County Allocations	
SSF Program County Allocations	

PLAN DOCUMENT	Page
I. Cover Sheet and Contact Persons	1
II. Program Assurances and Questions	2
III. Project Descriptions	6
IV. Budget Table	12
V. Signature Page.....	15

CY 2002-2004 IV-E/SSF Local Plan Guidelines

I. Introduction

Programs Covered by Plan Guidelines

These plan guidelines are to be used for services or projects funded with Title IV-E Incentive and Safe and Stable Families (SSF) funds. The plan guidelines apply to both programs and are designed to encourage coordinated planning at the local level and the use of common outcome measures for both funding sources. The plan guidelines are designed to allow counties to submit either a combined plan for both IV-E and SSF funds or separate IV-E and SSF plans.

The decision whether to submit a combined IV-E/SSF plan is left to local discretion. As the contract recipient agency for both the IV-E and SSF funds, the county human/social service department has the option to determine whether a combined plan will be submitted. In areas where the county department is not the lead agency for the SSF program, the SSF lead agency is expected to work cooperatively with the county department in submitting a combined plan should the county choose to do so.

The plan guidelines are for the multiyear period of calendar years (CY) 2002-2004. The project descriptions and budget tables should be based on planned activities for CY 2002. The multi-year plan submitted by agencies will require annual updates as needed to reflect changes in allocations or the operation of local program. The format of the plan guidelines is designed to simplify the update process, so that agencies can submit updated project descriptions and budget tables to modify their multiyear plan rather than submitting complete new plans.

These plan guidelines are applicable to IV-E and SSF program funds provided to county human/social service departments. Tribes that receive SSF funds submit separate workplans for their SSF funds as part of the tribal contract process. For counties participating in the Brighter Futures Initiative (BFI), the use of SSF program funds are addressed in their BFI plans and these counties need to submit only a IV-E plan using these guidelines. DCFS encourages BFI counties to coordinate their IV-E plan development with their BFI plan

Plan Submission

Plans must be submitted by local agencies **no later than Monday October 15, 2001.**

The CY 2001 plan guidelines can be found on the DHFS web site www.dhfs.state.wi.us under numbered memo section of the Partners and Providers page of the web site. The plan guidelines consist of two documents, the plan instructions and the plan document, which are posted to the web site as attachments to DCF Numbered Memo 2001-12. The specific web site reference for DCFS numbered memos is http://www.dhfs.state.wi.us/dcfs_info/num_memos/index.htm

The plan guidelines can be downloaded in MS Word format from the web site and local agencies are encouraged to prepare their plans using the downloadable plan document format. Agencies can adapt the plan document format to the extent necessary to respond to specific provisions and create a plan document that is useful for local purposes. In particular, the Project Description pages submitted with the plan can be adapted as long as the Project Descriptions include all of the specified items.

Please submit:

- Three (3) paper copies of your plan, two to DCFS and one to your OSF Regional office.
- An electronic or soft copy of your plan to DCFS via e-mail or computer disk. The soft copy of the plan should be in MS Word using the format from the DHFS web site. Attachments to plans should be submitted electronically as well.
- Signature pages can be submitted separately if necessary

Send the DCFS paper and soft copies to:

Bureau of Programs and Policies

Attn: Carol Vaughn

1 West Wilson Street, Room 465

P.O. Box 8916

Madison, WI 53708

Email = vaughcs@dhfs.state.wi.us

Send the Regional Office paper copy to the Area Administrator for your region

Plan Review and Approval

Local agencies must submit complete combined IV-E/SSF plans or separate IV-E and SSF plans based on these plan guidelines. Agencies must submit sufficient information in their plans to address the specific provisions in the plan guidelines. Agencies may be required to submit additional information for plan approval should revision or clarification of portions of their plans be necessary. At a minimum, all services or projects operated by IV-E and SSF programs must have a complete Project Description and the IV-E and SSF funds fully accounted for in the Project Budget Table for plans to be approved. If agencies have any concerns regarding submitting a complete plan by the due date, they should contact their Area Administrator.

Upon submission, plans will be reviewed by both DCFS central office and OSF Area Administration staff. If plans are missing information or additional information is needed, agencies will be contacted to submit the information. After the plan review has been completed, agencies will be issued plan approval letters. DCFS intends to issue plan approval letters by December 2001. Plan approval may be conditional on additional information being submitted. If substantial additions or revisions are required for plans, plan approval may take longer than December 2001.

Plan Modifications and Updates

Agencies will need to modify their plans once submitted should circumstances change or should new information become available. Plan modifications can be submitted at any time. At a minimum, agencies should submit updated Project Descriptions and an updated Budgets Table if new projects are added, existing projects are deleted, or if the funding level for a particular project changes more than 25% during the course of the CY 2002 – 2004 period. Agencies should also submit updated Project Descriptions if major changes are made to the customer service goals and performance targets of the project.

DCFS may direct agencies to submit plan modifications based on annual progress reports or program monitoring activities. If the actual performance for projects is significantly under the expected performance target, agencies will be required to submit a plan modification that identifies improvements that will be made to those projects. Depending on the situation, DCFS or Area Administration staff will meet or talk with county staff to discuss the improvements necessary in order to develop an acceptable plan modification.

Plan modifications should be submitted to both DCFS and Area Administration. The same instructions used for submittal of the multiyear plan should be following when submitting plan modifications.

Annual Progress Report

Local agencies must submit annual progress reports for their IV-E and SSF programs. The progress reports focus on the outcomes achieved by programs based on the goals and performance targets specified by local agencies in their plans. The progress report requirements will be described in a separate DCFS memo. The format for progress reports will parallel the plan format. Progress reports for CY 2001 program activity will be due by March 31, 2002. Progress reports for CY 2002 program activity will be due by March 31, 2003.

Questions or Other Inquiries

For additional information or assistance in completing the plan guidelines, local agencies may contact the DCFS contact persons listed below or Area Administration staff in their OSF Regional Office.

IV-E:

Mark Mitchell
Bureau of Programs and Policies
Phone: 608-266-2860

Fax: 608-264-6750
Email: mitchms@dhfs.state.wi.us

SSF:

Kathy Thomas or Moira Lafayette
Bureau of Programs and Policies
Phone: 608-267-7181 (Kathy)
608-267-5149 (Moira)
Fax: 608-264-9832
Email: thomaka@dhfs.state.wi.us;
lafayma@dhfs.state.wi.us

II. Allocations and Required Use of Funds

IV-E Incentive Funds

IV-E Incentive funds are generated from state claims for federal reimbursement under Title IV-E for expenses incurred by counties for out-of-home care maintenance payments for IV-E eligible children and the portion of program operating expenses attributable to IV-E eligible children. At the county level, state Community Aids funds and local tax levy funds are used to provide IV-E reimbursable payments and program services. At the state level, once IV-E reimbursement is obtained from the federal government, most of the IV-E reimbursement is used by Department of Health and Family Services along with other state and federal funds to finance Community Aids and other programs providing funding to counties to operate child welfare services.

Per s. 46.45(2)(a), Wis. Stats., of the net amount of IV-E reimbursement received by the state (after state costs to claim the funds) above the base amount budgeted for continuing programs, 50% is distributed to counties (excluding Milwaukee) as IV-E Incentive funds. The spending plan for the remaining 50% of the funds requires legislative approval. The Department has worked cooperatively with counties to increase federal IV-E reimbursement, which makes additional funds available for distribution through the IV-E Incentive program. A key factor in the amount of IV-E reimbursement is the percentage of IV-E eligible children of the total number of children in out-of-home care, also known as the IV-E penetration rate, which determines the effective rate of IV-E reimbursement for program operating expenses.

Current Funding Situation and Allocations

For CYs 2002 and 2003, the Department has \$13.6 million of IV-E Incentive funds available for distribution to counties. The Department will allocate \$6.8 million in each of CYs 2002 and 2003, the same amount as allocated in CY 2001.

For CY 2004, the amount of IV-E Incentive funds available for allocation to counties has not been determined. The allocations for CY 2004 will depend on the amount of federal IV-E reimbursement received by the Department. As counties develop their multi-year plans, they should assume that the IV-E Incentive allocations in CY 2004 will be comparable to the CY 2002-2003 amount. Funding levels for the IV-E Incentive program to date have been augmented by the ability of the Department to increase the IV-E eligibility (penetration) ratio in the state and retroactively claim IV-E reimbursement. From this point forward, the amount of IV-E Incentive funds available for distribution will depend solely on current claims for IV-E reimbursement, so counties should assume that \$6.8 million will be the maximum amount available for CY 2004 and the actual amount could be less.

The allocations to individual counties include a base amount of \$50,000 and a formula amount using two equally-weighted factors, the county's proportion of the population of children in the state and the county's proportion of the population of children in poverty in the state. The allocations for CY 2002 have been computed using updated population data. The child population data is from the 2000 Census. The child poverty data is from a 1995 Census Bureau report as the 2000 Census poverty information is not yet available.

The use of updated population figures results in some changes to the formula portion of the IV-E Incentive allocations to counties as compared with prior year allocations. These changes are attributable primarily to fluctuations in the numbers of children in poverty on a county by county basis. The allocations for CY 2002 will also be used for CYs 2003 and 2004. Should less than \$6.8 million of IV-E Incentive funds be available for distribution in CY 2004, all counties will receive the \$50,000 base amount and the formula portion of the allocations will be recomputed based on the funds available. For the next three-year IV-E Incentive plan period (2005 – 2008), DCFS will use current child population estimates and the 2000 Census poverty data.

Allowable Uses of IV-E Incentive Funds

Per s. 46.45(2)(a), Wis. Stats., of the IV-E Incentive funds allocated to counties, at least 50% of the allocation must be spent for services to children who are at risk of abuse or neglect to prevent the need for child abuse and neglect intervention services. The remaining funds are to be used for services to assist children and families. Counties may not use IV-E Incentive funds to supplant other funds expended by the county for services to children and families. Counties must maintain their non-supplanting, maintenance of effort amount, as required by DCFS Memo Series 98-02, issued March 25, 1998.

The portion of IV-E Incentive funds available for services to children and families can be used for a variety of purposes. Allowable uses include: services to reunify children in out-of-home care; post-placement support services to adoptive parents and relatives caring for children (including TANF Kinship Care cases); independent living services for older youth aging out of care and young adults who recently exited care; hiring additional child welfare staff; and training for child welfare staff and foster parents.

Administrative costs: The statutory requirements for the use of IV-E Incentive funds do not address administrative costs. Any administrative costs charged to the IV-E Incentive funds must be related to the administration of IV-E Incentive services or projects. Counties may not use IV-E Incentive funds for general overhead costs or to avoid administrative (i.e. AMSO) cost limits for other state funding sources. The general rules applicable to Community Aids regarding what constitutes an administrative cost apply since the IV-E Incentive funds are covered by the state/county contract. Any program administrative costs shown as a separate budget line on the Project Budget Table in the plan must be attributed to the flexible portion of the IV-E funds.

IV-E incentive funds not spent by counties in one calendar year carry forward and can be used in the next calendar year. While this carry forward provision exists to give counties flexibility in using the IV-E Incentive funds, the Department expects that counties will use their entire IV-E Incentive funds allocation in the year provided and that carryover of funds will be kept to a minimum. Counties with carryover balances must provide an explanation of the reasons for the carryover and develop spending plans that will use the carryover funds. With the exception of WiSACWIS implementation described below, counties may not maintain carryover balances as contingency funds for placement costs or other purposes.

For the implementation of the WiSACWIS system, counties will have some local costs for computer equipment, connectivity, technical consulting, and other items. To give counties flexibility in funding local costs related to WiSACWIS, IV-E Incentive funds can be used to cover these local costs and counties may carry over IV-E Incentive funds for the purpose of building a reserve fund. In addition, a statutory change is included in the 2001-2003 budget bill that waives the 50% prevention requirement for counties during the years that their local costs will be paid. Contingent on final approval of the budget bill, during those years counties will be allowed to use up to 100% of their annual IV-E Incentive allocation plus any carryover funds for local costs. Counties are not required to use IV-E Incentive funds for this purpose and other fund sources can be used to pay local costs. In addition, DCFS will make federal IV-E funds available on a pass-through basis for local costs.

Since the IV-E Incentive reimbursement received by the state is reimbursement for previously incurred expenses paid with Community Aids and local tax levy, the IV-E funds are considered earned by the state and can thus be used in a flexible manner. Once distributed to counties, the IV-E Incentive funds are different from other IV-E funds that are direct federal reimbursement for IV-E reimbursable expenses, such as federal IV-E funds that are directly passed through to the University of Wisconsin Training Partnerships or to counties for other reasons. Once allocated to counties, the IV-E Incentive funds can be used to match other funding sources, similar to local tax levy funds. For example, IV-E Incentive funds can be used draw additional federal IV-E reimbursement for the federal IV-E share of WiSACWIS implementation and foster parent training costs. In preparing their IV-E Incentive plans, counties are encouraged to use their IV-E incentive funds to leverage other resources.

Safe and Stable Families Program

The SSF program is funded entirely with federal funds, primarily by Subpart 2 of Title IV-B. The Department uses most of the IV-B funds to finance the SSF program. A portion of the IV-B funds must be used for adoption services and these services are delivered through the state adoption program. The Department supplements the IV-B funding for the SSF program using federal Drug Free Schools funds.

Federal IV-B requirements specify that of the total SSF program funding, a minimum amount must be used in each of the following categories – Family Support, Family Preservation, Family Reunification and Adoption. The adoption requirement is met at the state level. The remaining minimum spending requirements are met at the local level. Local agencies receiving SSF funds must spend of their local funds at least 25% for Family Support, 25% for Family Preservation and 25% for Family Reunification. The remaining 25% of SSF funds can be used by local agencies in any of the three required categories.

Current Funding Situation and Allocations

For CY 2002, local agencies will receive the same SSF allocation as they received in prior years. For reasons described below, the funding available for CY 2003 and 2004 is uncertain. Thus the Department is advising local agencies that significant reductions will likely be made in allocations for CYs 2003 and 2004. The funding situation is driven by the changes in the federal IV-B Subpart 2 funding, how the SSF program was implemented statewide, and reduced federal Drug Free School funds.

When the former Family Preservation and Support program was implemented in the mid-1990s, the goal was to fund counties and tribes statewide. During the initial years of implementation, the state received increasing federal awards and underspending occurred which made funds available to fund all local agencies statewide (except Milwaukee). Counties and tribes were funded based largely on what they requested on the assumption that the federal funds would continue to increase to sustain the ongoing allocations.

When IV-B Subpart 2 was reauthorized as the Safe and Stable Families Program in the 1997 Adoption and Safe Families Act (ASFA), the adoption component was added requiring 20% of the total funds to be used for adoption services. This required that 20% of the IV-B funds be transferred into adoption activities. The federal reauthorization also included increased funding, so the expectation was that increased awards to the state would offset the amount of the adoption transfer; therefore no adjustments were made to local agency allocations.

While the IV-B Subpart 2 appropriation has increased at the federal level, Wisconsin has not fared well under the allocation formula due to declining Food Stamp caseloads. The expected increases in federal SSF funds have not materialized and Wisconsin's Subpart 2 award has remained relatively constant compared with prior years. The relatively flat federal funding combined with the 20% adoption requirement means there are less Subpart 2 funds available to support the SSF local program allocations today than compared to 1997. In addition, Wisconsin's Drug Free School funds have been reduced, affecting the amount available for the local program allocations.

The cumulative effect of federal funding changes is that the local SSF program allocations are higher than the ongoing amount of federal funds available to sustain the program. The Department has made every effort to maintain funding levels for local agencies in the hope that Wisconsin would receive increased IV-B-Subpart 2 funds to sustain the local allocations. The Department has used one-time SSF carryover funds from underspending in prior years to hold local allocations constant in the hope that Wisconsin would receive increased IV-B Subpart 2 funds to sustain the local allocations at their historical level. Based on the current federal funding situation, however, it is no longer possible to sustain local program allocations at their current level after CY 2002 as these one-time carryover funds have been exhausted.

Local SSF allocations are currently \$3.18 million annually and the Department has only about \$2.7 million of going IV-B Subpart 2 and Drug Free Schools revenue to support the local program allocations. Wisconsin's Subpart 2 grant is approximately \$3.1 million, of which 20% or about \$620,000 must be used for adoption services and \$95,000 (less than 4%) is used by DCFS for state operations. The remaining amount of IV-B funds available to support local allocations is about \$2.4 million. Drug Free School funds provide about \$300,000 of revenue, down from over \$400,000 in prior years. The one-time carryover funds will run out in CY 2002, necessitating reductions in local agency allocations for CYs 2003 and 2004 to bring local allocations in line with the ongoing amount of federal funds available. Regrettably, unless the federal funding situation changes, the Department will have to reduce county and tribal allocations by about \$500,00 starting in CY 2003.

There is consideration at the federal level of increasing the Subpart 2 appropriation for federal fiscal year (FFY) 2002 as the Subpart 2 program is up for reauthorization. If the increase does occur, the Department will use any increased funds Wisconsin might receive to maintain SSF program funding for local agencies. Action on the FFY 2002 federal budget will not be completed until fall 2002, however, and it is uncertain to what extent Wisconsin might receive an increase and whether the federal requirements such as spending categories will be changed. Thus the Department is taking the fiscally conservative approach of adjusting SSF program funding levels to the ongoing amount of federal funds currently available.

Instructions for Completing the SSF Plan

Agencies should complete their SSF plans based on their CY 2002 allocation amount. Given the uncertainty of funding beyond CY 2002 for the SSF program, local agencies should submit plans using the CY 2002 level of funding and submit plan updates as needed for CYs 2003 and 2004.

At this point, the Department has not determined how SSF allocations will be reduced for CY 2003. Once the federal funding situation for FFY 2002 is clear, DCFS will work closely with counties and tribes to seek input on allocation options. When allocations to local agencies were originally established, the allocations are based roughly on county size but there were no criteria used to make allocation determinations. That approach makes it difficult to fairly allocate any increases or reductions. Consequently, DCFS will be seeking input from local agencies to develop and review options allocating SSF funds to counties and tribes for 2003.

III. Instructions for Completing the Plan

Plan Cover Sheet and Contact Persons

The plan cover sheet indicates what plan option the county is using for CY 2002 - 2004, either a combined IV-E/SSF plan or separate IV-E and SSF plans. The cover sheet also indicates what agency (if other than the county human/social services department) is responsible for submitting the plan. For SSF programs where the county is not the lead agency for the program, the SSF lead agency should be listed.

The contact persons should be the specific individuals the Department should follow up with if there are any questions about program management, program fiscal matters, or the content of the plan itself. A single person can be listed as the contact person for all three purposes.

Program Assurances and Narrative Questions

The program assurances specify the basic statutory and fiscal requirements for the IV-E and SSF programs. Agencies can add comments if they wish to explain their compliance with these program requirements.

The program questions require narrative answers on specific aspects of IV-E and SSF program operation. The purpose of these questions is to allow the Department to better understand how programs have been implemented locally. The expectation is that responses will be brief and the responses can be limited to the space provided. If agencies wish to provide more in-depth responses, they can certainly do so.

Question 1 refers to the results of the local child welfare assessments that counties completed in 2001. The local assessment was designed to help counties establish goals for improving services under their local child welfare programs. The assessment covered four areas – Child Safety, Permanency, Out-of-Home Care and Child and Family Well Being. For each of these areas, counties should have identified local goals for program improvement. In responding to Question 1, agencies should refer to their county assessment and briefly list the key goals identified by the county in that assessment. Then in general terms, agencies should describe how the projects funded under their IV-E or SSF programs will address those goals. While the Department does not expect counties to make dramatic changes in their IV-E and SSF program activities for CY 2002 as a result of the assessment, the assessment should certainly influence the target populations, service strategies and performance targets established for IV-E and SSF projects. The Department will use the assessment results in reviewing the CY 2002 – 2004 IV-E/SSF plans from counties.

Question 2 relates to the process used to connect children and families involved with the county child welfare program with IV-E and SSF service providers. The response should focus on broad mechanisms for referrals and service coordination so that the IV-E and SSF services available to children and families can meet needs identified in their child welfare service plans. Specific mechanisms for connecting target populations with particular projects should be described in the Project Descriptions.

Question 3 refers the quality assurance and program monitoring strategies used by county agencies to monitor the performance of IV-E and SSF program subcontractors. Counties should have processes in place to assess the effectiveness of IV-E and SSF service providers and to compel program improvements by providers that fail to meet performance requirements.

Question 4 provides an opportunity for local agencies to identify technical assistance needs. DCFS will use the responses to plan technical assistance activities and follow up with agencies. Agencies should identify contact persons for DCFS to work with on making arrangements for technical assistance.

Question 5 requires counties to identify the membership of their SSF local program planning committee. In situations where a committee performs multiple planning or coordination functions, agencies should describe those other functions.

Project Descriptions

The plan document contains the format for the Project Descriptions. Agencies should complete a separate Project Description Sheet for each project funded with SSF or IV-E Incentive funds. The Project Description Sheet is designed to capture information about who the customers are, what service strategies will be used, and the Performance Targets that will be used to measure whether the project is achieving the desired outcomes.

The Project Description Sheet asks for a lot of information about projects because understanding who the customers are and how projects will be operated is essential to establishing appropriate Performance Targets for projects. It is important that all projects have Performance Targets so that projects are focused on making a difference in the lives of children and families and a difference in the community in which those families reside. With the limited resources available through the IV-E Incentive and SSF programs, it is important that those resources be invested wisely in projects and services that will make a difference.

The format can be adapted to meet local agency needs, but the Project Description Sheets submitted by agencies must include the items specified in the format. The responses to the specific items should be done on the Project Description Sheet where indicated and the response spaces can be expanded as necessary to include the agency's full response to the items.

Each project should have a corresponding entry in the IV-E/SSF Project Budget Table. The Project Descriptions will be used to determine compliance with IV-E and SSF program expenditure requirements.

Investor Targets

The Department of Health and Family Services is interested in investing IV-E and SSF program resources in projects with performance targets that will improve outcomes in the areas of child safety, permanence, and child and family well being. Specifically, IV-E and SSF programs should achieve results that:

- Strengthen families,
- Prevent family dissolution
- Reunite families,
- Protect children
- Promote self-sufficiency
- Assure permanent, stable homes for youth.

Completing the Project Descriptions

The Project Descriptions request four types of information: basic project information; customers, service delivery; and performance measurement. Most of the customer and service delivery information should be readily available from existing local sources. The part of the Project Descriptions that will require the most work are the questions relating to Performance Targets and Outcome Measurement. DCFS asks agencies to give close attention to performance measurement and to design Performance Targets and Outcome Measures that are appropriate for the types of customers being served and the service strategies used by the IV-E and SSF projects. For existing projects, agencies should review their Performance Targets and Outcome Measures carefully and revise the targets and measures as needed so that performance can be effectively measured. For new projects, agencies should establish targets and measures that will ensure that the projects are successful in meeting customer needs. DCFS is committed to providing training and technical assistance to help agencies develop effective approaches to performance measurement with their IV-E and SSF programs.

Basic Project Information

Program: List whether the project is funded by IV-E, SSF or combined funding.

Project Name: List a brief name for the project.

Key Contact Person: List the person(s) primarily responsible for managing the project and reaching the performance targets. The contact person for individual projects can be same as the overall contact for the IV-E or SSF program, but the project contact persons should be able to respond to questions about the customers, service strategy and performance measurement aspects of the project. List the name, title, address, phone, fax and email information for the project contact person(s).

Customer Information

The Customer Profile questions define the target population for the project, including the behavior and characteristics of the customers the project will serve.

Target Population: Identifying the target population for IV-E and SSF services is critical to effective service delivery and measuring the results or outcomes of the service. The target population is also critical to determining compliance with IV-E and SSF program policy and fiscal requirements, as state and federal requirements to target funds to certain types of activities are based primarily on the characteristics of the population served rather than the specific type of service.

Many services can fit into multiple categories such as Family Support, Family Preservation, Family Reunification or other service categories depending on who is served and the context in which the service is provided. For example, a particular service can be categorized as a Family Reunification service not because of the unique nature of the service itself or the service provider, but due to the fact that the service is provided as part of an overall service strategy to reunify children with their families. Family counseling to prepare the home for reunification of the child with the family can be categorized as a reunification service in that situation. The same family counseling service provided to other families in different circumstances could be considered a Family Support or Family Preservation service.

Identify the Target Population (General Public, Abused or Neglected Children, etc.) from the table in Appendix 1 to the Plan Instruction.

Customer Characteristics: The characteristics of the population (customer) being served, and their conditions and behaviors at the time they are being served, provide the context for placing a particular service or project in the appropriate service category. Customers are individuals, families, agencies or communities who directly interact with an organization's product or services and the providers or implementors of the product/service. This interaction is intended to result in a change in customer behavior or condition in line with organizational outcomes. It is important to know who your customers are, in order to understand what are their conditions and behaviors.

Describe the specific behaviors and characteristics of the customers the project will serve. What aspects of the customer behaviors and characteristics will the project address?

Customer Profile: To help make clear who the customers are, profile two or three customers typical of those to be served. These profiles should be brief statements about actual customers (excluding any personally identifiable or confidential information) or the "average" customer. The customer profiles should help readers of the plan visualize the customers.

Service Delivery Information

The Project Description questions define the service or product that will be provided by the project and the approach for service delivery.

Service Category: Specify the service category (Family Support, Family Reunification, etc.) from Appendix 2 to the Plan Instructions. If the project could fit in multiple categories, pick the category most appropriate to the target population and the characteristics of the customers. Elaborate on the service category choice if need be to explain why that category is most appropriate.

Products: Describe the actual services or product that will be provided by the project to the customers. Describe the essential elements of the project and the strategies used to deliver the product. From the customer's perspective, what product do they get from the project and how is the product delivered.

The Products question should be used to provide as much narrative as needed to help readers of the plan understand what services is being provided.

Service Providers: Describe what service providers will be used to deliver the product to the customer. Who are the actual implementors of the project? What areas of the county will these providers serve? What capacity and experience do the providers have to deliver the product?

Customer Access: Indicate how customers will be made aware about the product and the referral mechanism that will be used to connects customers with the service providers. This include outreach or recruitment activities designed to enroll customers in the project or otherwise engage the customer so the product can be provided.

Local Program Financing: Describe how the project is financed, i.e., how the IV-E or SSF funds support the project. What percentage of the project financing do the IV-E or SSF funds represent? How do the IV-E or SSF funds reach the service providers and support delivery of the product? Do providers have a contract or are they reimbursed on a fee basis? For contracts, describe how the contracts are awarded to providers.

Level of Service: Indicate the number of customers that will be served or units of service that will be provided annually. Indicate the planned level of service for 2002 and note whether the level of service will change in future years.

Duration of Service: Describe how long customer are typically served by the project, i.e. what is the average length of time that customers receive services or participate in project activities. The expected duration of service should affect the number of customers that can be served by the project.

For projects that include a mix of funding sources, the responses to the service delivery questions should be based on the total activity of the project. If the IV-E or SSF funds support only certain parts of the overall project, the responses should focus on those parts of the project as much as possible.

Performance Measurement Information

The Performance Targets and Outcome Measurement questions define the outcome(s) that the project is designed to achieve, the specific performance targets and how performance will be verified. Additional information about performance measurement terminology is provided in Appendix 3.

Outcome Statement: Describe the ultimate objective or result(s) that the project is designed to achieve for the customers. What overall impact will the project have with the customers? What return will be achieved on the investment of IV-E or SSF program resources in this project?

The outcome statements should be related to the major child welfare program goals of child safety, permanency, and child and family well being.

Performance Targets: Describe the specific result you hope to achieve for the customers you serve. Performance targets are the specific changes in customer behavior, condition or satisfaction that will be achieved by the project. . Performance Targets answer the question “What is your definition of success for a given program and the customers it serves”. Performance targets reflect a change in customer behavior or conditions that might contribute to the outcome listed above.

Identify at least one specific performance target for each project. The performance target should reflect the desired outcome and be appropriate for the customers and service strategy of the project.

Some examples of performance targets are:

- Number of youth reunited with their family and remain in the home for X month(s).
- Number of youth with immediate safety and shelter needs met that are connected to one or more supportive services,
- Number of youth placed in a stable living situation, (transitional/independent living program, other)
- Number of youth in a transitional living program that live independently.
- Number of families that are stabilized (i.e. the behaviors/conditions that contribute to family instability and or crisis have been eliminated).
- Increase in number of safe homes/transitional housing for youth in the community.

Outcome Measures: Identify an outcome measure for each project that will allow for measuring achievement of the Performance Target. Outcome measures assess the results, effects or impact of a program's success. They describe observable, measurable characteristics or changes that represent achievement of an outcome.

For example, a program whose desired outcome is that all children are in a safe and nurturing environment could quantify *the number of families with improved child and family function* (as defined by the investor, agencies prevailing practices or industry standards). The number and percent of program participants who demonstrate desired skills and behaviors then is an indicator of how well the program is doing with respect to the outcome.

Other examples of outcome measures might include:

- Number of Families that are strengthened
- Number of families reunified
- Number of youth that achieve their potential

Milestones: Specify the critical customer behaviors or conditions you would look for that demonstrate engagement, enrollment and changes that indicate progress of customers toward each Performance Target set for the project.

For outcome measurement, the milestones identified should focus on the customer's response to the product or services rather than on project implementation or management activities. While those activities can be considered milestones in the life of a project, changes in customer behavior are what directly affect achievement of Performance Targets.

Data Sources and Verification of Results: To provide meaningful information, the performance targets (which contribute to outcomes) must be measurable and use data that can be collected/obtained in an accurate and consistent manner. For example, county level rates of child abuse and neglect may be a measure of child safety, but may not give you immediate verification on what was in fact accomplished during the program year. Measures looking at family functioning, substance abuse and domestic violence would be more appropriate to use with projects intended to promote child safety.

Verification establishes the achievement of a result by documentation, evidence or testimony and uses that data to improve program performance. What data you use to verify target achievement, and who you collect it from depends on the type of program.

Three typical sources of information verify behavior change in the customer comes from: 1) the customer themselves, 2) the project implementors or service providers, and 3) intermediaries agencies or people outside the control of the implementor agency who have direct access to customers such as family members, professionals, or community members or otherwise interact with the customers.

Typical methods for verifying results are written surveys, telephone surveys, interviews, direct observation and artifact collection such as a receipt or certificate of completion. The project implementor may collect data for its own program administrative purposes using manual data collection or information systems. If the data source contributes to a county or state level outcome measure, indicate the likely impact of the project on that measure or indicator and over what period of time you anticipate it to occur and be available.

Over time, there should be a correlation between the customer and program results to the outcome rates for the community, county or state level data sources that measure the outcome. For example, projects focused on child safety projects should ultimately impact the rates of abuse and neglect. If the data source contributes to a county or statewide outcome measure, indicate the likely impact of the program results on that measure or indicator and over what period of time you anticipate it to occur and be available.

Describe the specific benchmark or comparative performance data that will be used to measure progress towards county or state level indicators. A program can use its own data as a baseline benchmark against which to compare future performance. It also can use data from another program as a benchmark. In the latter case, the other program often is chosen because it is exemplary and its data are used as a target to strive for, rather than as a baseline.

A program can use its own data as a baseline benchmark against which to compare future performance towards achievement of outcome measures. It also can use data from another program as a benchmark. In the latter case, the other program often is chosen because it is exemplary and its data are used as a target to strive for, rather than as a baseline.

The Department will seek input from counties and IV-E/SSF service providers to further develop and refine Performance Targets and Outcome Measures for the SSF and IV E Incentive programs. The Department intends to use the federal child welfare outcomes measures in establishing state investor targets and encourages counties to consider using those federal outcome measures as Performance Targets.

Project Budget Table

The Project Budget Table should include a listing for every project that counties use IV-E or SSF funds to finance. The table is designed to list projects by service category to help determine compliance with IV- and SSF expenditure requirements. Compliance is determined in the subsequent Budget Summary Tables.

The funding amount should reflect the project budget or anticipated expenditures for the project in CY 2002. The fund source should be listed as IV-E or SSF. If projects are funded with both IV-E and SSF, the amount for each fund source should be listed. If projects have other funding sources, local agencies should list the amount and source of the other. For projects with numerous other funding sources, only list the one or two largest other funding sources to help put the IV-E or SFF amount into perspective. Show the total funding for the project. Indicate whether the project is new (N) or continued (C) from prior years.

The funding amounts listed should correspond with the Project Description. If the Project Description covers only the discrete part of a project that is financed with IV-E or SSF funds, then the listing in Project Budget Table should correspond with the funding for that discrete part.

IV-E funds can be used for projects in any service category, but at least 50% of the funds must be used for services to prevent abuse and neglect. The 50% prevention requirement should be met by funding Family Support and Family Preservation services to the At-Risk (AR) and Abused or Neglected (AN) target populations. Post-Placement services to the relative and Adoptive Parent (RA) population can also count toward the 50% prevention requirement if the intent is to prevent the need for further child abuse and neglect intervention services for those children. Agencies who are counting IV-E services to the RA population toward the 50% prevention requirement should footnote this in their plan. The flexible portion of the IV-E funds can be used for services to any of the target populations.

SSF funds must be used for Family Support, Preservation and Reunification services with a minimum amount in each category. The Family Support portion should be spent on services to the General Public (PR) and At-Risk (AR) populations. The Family Preservation portion should be spent on services to the Abused or Neglected (AN) population. The Family Reunification portion should be spent on services to Out-of-Home Care (OH) population.. The Relative and Adoptive Parent (RA) or Other Youth (OY) populations can also be served with SSF funds in the Family Support or Family Preservation categories, but all SSF-funded projects should be listed in one of the three SSF required service categories.

Budget Summary Tables

The Budget Summary Tables are designed to demonstrate compliance with the minimum expenditure requirements for the IV-E and SSF programs. Based on the information entered in the Project Descriptions and the Budgets Table, agencies should complete the computations.

The IV-E worksheet asks agencies to identify projected carryover from CY 2001. Unspent funds from CY 2001 will be rolled over and added to CY 2002 following closeout of the CY 2001 contracts. Counties may use their own methods to estimate carryover and the worksheet can be updated if necessary in CY 2002 once the actual CY 2001 carryover is known.

If the actual amount carried over from CY 2001 into CY 2002 differs by more than 10% from the estimated amount used in developing the 2002 – 2004 plan, agencies should submit updated 2002 – 2004 plans that reflect the actual carryover amount. Agencies will be notified of their actual CY 2001 carryover in approximately June 2002. In addition, if agencies experience significant underspending for individual IV-E projects, they will be asked to justify that underspending in their annual progress report.

IV-E funds subject to the 50% prevention requirement remain subject to the prevention requirement when carried over. The only exception is carryover for WiSACWIS implementation, as explained in Section II of the plan guidelines. This exception for WiSACWIS is contingent on proposed language in the 2001-2003 state budget bill being enacted into law.

Signature Page

The plan requires the signature of the contract recipient agency (the county human/social services department) and the lead agency for the program (either the county department or subcontract agency that actually operates the program). The county department, as the contract recipient for both IV-E and SSF funds, must sign as the contract recipient agency for all IV-E and SSF plans regardless of whether the county department is the lead agency for the program. The lead agency signature should correspond with the agency identified as submitting the plan. It is left to local discretion which agency should sign as the lead agency. Additional signatures can be added at local discretion if there are multiple agencies involved in submitting the plan.

If possible, signature pages should be submitted with the rest of the plan. If it is not possible to obtain the necessary signatures by the plan due date, the signatures should be submitted as soon as possible following the plan submission. If multiple agencies need to sign the plan and it is not possible for all agencies to sign the same signature page, separate signature pages can be submitted.

Appendix 1

Target Populations Table

The following table indicates the target populations to be used with the Project Descriptions and Budget table in the plan guidelines. Appropriate outcome measures by service category should be developed for target populations based upon the desired results to be achieved.

Abbreviation	Description of target population
PR	General Public– Broad prevention activities for the general public designed to promote positive behaviors and prevent the need for family intervention services.
AR	At Risk – Children and families who are vulnerable, at risk of child abuse or neglect, or likely to engage in behaviors with negative consequences.
AN	Abused/Neglected – Children and other members of families in which child abuse or neglect has occurred. This group includes biological families with whom children have been reunified.
OH	Out-of-Home Care – Children in out-of-home care and the families from which they were removed. This includes services to children and families while the children are in foster care placements.
IL	Independent Living – Youth who will be exiting and young adults who have exited the Out-of-Home Care system through emancipation.
OY	Other Youth – Other youth in need of prevention or early intervention services. This group includes youth who returned to the community after exit from secured detention or juvenile corrections.
RA	Relatives and Adoptive Families – Adoptive families and relatives caring for children who have been placed with them under formal or informal arrangements.

Appendix 2

Service Categories

The following service categories are used in the Project Descriptions and Budget Table. These service categories are designed to be broad categories for plan purposes and are not intended to be all-inclusive. IV-E and SSF programs may fund services or projects that do not neatly fit into any of these categories or are multi-purpose in nature and thus cut across multiple categories.

Service Category	Description	Target Group(s)
Family Support	Family Support services are voluntary, preventive activities to alleviate stress and help families care for their children's well-being. Services increase the strength and stability of families by improving parenting abilities and enhancing child development. Examples of Family Support services include family resource centers, drop-in centers, family support groups, parenting skills, screening children to assess service needs, referral to community services, and assisting families to access services.	PR, AR, OY
Family Preservation	Family Preservation services are intensive activities generally delivered in the home to meet immediate safety needs and stabilize the family in times of crisis. Services are provided to parents, caretakers and other family members during times of family crisis that could lead to removal of children from the home. Examples of Family Preservation services include safety services; respite care; substance abuse and mental health treatment; in-home supervision/observation, family counseling, life skills training; and food or clothing assistance.	AN, RA
Family Reunification	Family Reunification services are activities to prepare children in out-of-home care and parents for the safe return of children to their homes. For the SSF program, reunification services are time-limited and should be provided within the 15-month period beginning when children enter out-of-home care. There is no time period for reunification services under the IV-E program. Examples of Family Reunification services include individual and family counseling; substance abuse and mental health treatment; activities to address domestic violence; and specialized or therapeutic child care.	OH
Post-Placement	Post-Placement services are activities to help adoptive	RA

Services	parents and relatives care for children who have been placed with them under either formal or informal arrangements. This includes relatives caring for children receiving TANF Kinship Care or SSI disability payments. Examples of Post-Placement services include respite care; crisis intervention activities; parenting skills, individual and family counseling; follow-up in-home visits; and specialized or therapeutic child care.	
Youth Development	Youth Development services are activities to promote positive behavior and discourage negative behavior among youth and young adults. Services help persons develop positive self-images, deal with peer pressure, make sound decisions, and become productive adult members of society. Examples of Youth Development services include improving school attendance and academic achievement; work experience and vocational preparation; and prevention of teen pregnancy, substance abuse and juvenile delinquency.	IL, OY
Independent Living	Independent Living services are activities to prepare older youth in out-of-home care for living independently and assisting young adults formerly in care to live independently. Services help persons to care for themselves and be self-sufficient. Examples of Independent Living services include assisting persons to receive education, training and employment services; household management and budgeting skills; peer and adult mentors; crisis intervention activities; and transitional housing.	IL

Service Category	Description	Target Group(s)
Other Services	Other Services to children and families include activities that do not fit in the above categories.	Variable depending on type of service
Local Staff/Training	IV-E funds may be used to support the salaries and other costs of child welfare staff and covers the costs of providing training for child welfare staff. Staff costs can be counted toward meeting the 50% requirement if staff work with the AR and AN target populations.	Variable depending on type of service
WiSACWIS	IV-E funds may be held in reserve and carried forward to pay for future local costs of implementing the WiSACWIS system.	N.A.
Program Administration	General administrative costs for the IV-E and SSF programs must be limited to 10% or less of the program allocation.	N.A.

Appendix 3

A Dictionary for OUTCOME FUNDING®/OUTCOME MANAGEMENT

Public service organizations use a great number of terms, often interchangeably. When describing those directly served, for example, we speak of clients, participants, customers and stakeholders-- often in the same breath.

Both because Outcome Funding/Outcome Management uses some different terms and seeks a reasonable level of precision in what its terms mean and do not mean, below are definitions for the terms relevant to this Plan Guideline/Application. As implementation proceeds, clarifications and improvements are expected and welcome. Do add your notes on ways to improve the definition as we go along.

Outcome Statement: The ultimate and over-arching end-state, which the investor strives toward through its investment(s). A compelling vision of success designed to motivate *implementors* to outstanding performance. Examples include: a school where all children succeed, a community in which no baby has a low birth weight for any preventable reason.

Customer: Customers are people who directly interact with an organization's *product* and its *implementors*. This interaction is intended to result in a change in customer behavior, condition, and satisfaction in line with organizational outcomes and mission.

Performance Target: The specific changes in behavior, condition or satisfaction of a group of *customers* that an implementor/service provider seeks to achieve.

Product: A program or service with specific core features that is offered to a customer by an implementor. A product is described in terms of benefit or value to a customer.

Product Step: Those actions taken by the implementing organization to meet milestones and, in turn a performance target. Taken together, the product steps (including the strategy to deliver them) make up the product. In some cases, they may be positioned within a chain, as in: mail brochures, respond to those interested, do training, etc.

Verification: Establishing that something represented to happen did in fact take place. This confirmation may be based on documentation, evidence or testimony.